

**OMB NO. 1820-0550**

**Expires: 04/30/06**

**ANNUAL STATE APPLICATION UNDER PART C OF THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT AS AMENDED IN  
2004  
FEDERAL FISCAL YEAR 2006**

**CFDA No. 84.181A**

**ED FORM No. 1 B20--26P**

**UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION PROGRAMS  
Washington, DC 20202-2600**

APPLICATION FOR  
FEDERAL ASSISTANCE

Version 7/03

1. TYPE OF SUBMISSION: Application		2. DATE SUBMITTED	Applicant Identifier
<input type="checkbox"/> Construction	Pre-application	3. DATE RECEIVED BY STATE	State Application Identifier
<input checked="" type="checkbox"/> Non-Construction	<input type="checkbox"/> Construction	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
<input type="checkbox"/> Non-Construction			
5. APPLICANT INFORMATION			
Legal Name: State of California		Organizational Unit: Department: Department of Developmental Services	
Organizational DUNS:		Division: Children & Family Services Branch	
Address: Street: 1600 9th Street, MS 3-8		Name and telephone number of person to be contacted on matters involving this application (give area code)	
City: Sacramento		Prefix:	First Name: Rick
County: Sacramento		Middle Name	
State: California		Last Name Ingraham	
Zip Code 95814		Suffix:	
Country: United States		Email: rick.ingraham@dds.ca.gov	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): □□-□□□□□□□□		Phone Number (give area code) (916) 654-2205	Fax Number (give area code) (916) 654-3255
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		7. TYPE OF APPLICANT: (See back of form for Application Types) A. State Other (specify)	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): 84-181		9. NAME OF FEDERAL AGENCY: Office of Special Education Program, United States Dept of Education	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Maintenance of a statewide, comprehensive, multidisciplinary, interagency system of early intervention services to developmentally disabled infants and toddlers (ages birth to 36 months) and their families.	
13. PROPOSED PROJECT Start Date: 7/01/2007 Ending Date: 6/30/2008		14. CONGRESSIONAL DISTRICTS OF: a. Applicant Dis. 1-45 b. Project 1-45	
15. ESTIMATED FUNDING: a. Federal \$ 54,072,123 b. Applicant \$ c. State \$ d. Local \$ e. Other \$ f. Program Income \$ g. TOTAL \$ 54,072,123		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
a. Authorized Representative Prefix First Name Date Middle Name Last Name Sorbello Suffix b. Title Acting Chief Deputy Director, DDS c. Telephone Number (give area code) (916) 654-1897 d. Signature of Authorized Representative e. Date Signed			

**TABLE OF CONTENTS**

Section I	
	A. Submission Statements for Part C of IDEA.....1
	B. Conditional Approval for Current Grant Year (FFY 2005).....1
Section II	
	A. State Policies, Procedures, Methods, and Descriptions.....2-7
	B. Assurances and Optional Assurance.....8-14
	C. Certifications.....15
	D. Statement.....16
Section III	
	A. Description of Use of Funds.....17-18
	B. Mandated State Level System Requirements.....19-21
	C. Early Start System Services (Direct Services).....21-23
	D. State Administration of Early Start.....23-26
	E. Activities by Other Agencies.....27-30
	F. State Interagency Coordinating Council (ICC).....31
Section IV	
	A. System of Payments/Use of Insurance/Program Income.....32
	B. Restricted Indirect Cost Agreement/Cost Allocation Plan.....32-35
Section V	
	A. Attachment.....36

# Section I

**Section I****A. Submission Statements for Part C of IDEA**

Please select 1 or 2 below. Check 3 if appropriate.

1. ☐ The State's policies, procedures, methods, descriptions, and assurances meet all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004 and applicable regulations (IDEA). The State is able to provide and/or meet all policies, procedures, methods, descriptions, and assurances, found in Sections II.A and II.B of this Application.

By selecting this submission statement the State has submitted the new and/or revisions to State policies, procedures, methods, and descriptions that meet all requirements found at 20 U.S.C. 1437(a)(6); (a)(9)(A); (a)(9)(A)(ii)(II); and (a)(9)(C)).

2. ☒ The State cannot provide policies, procedures, methods, descriptions, and/or assurances for all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004. The State has determined that it is unable to provide the policies, procedures, methods, descriptions, and/or assurances that are checked 'No' in Sections II.A and II.B. However, the State assures that throughout the period of this grant award the State will operate consistent with all requirements of IDEA in PL 108-446 and applicable regulations. The State will develop and/or make such changes to existing policies, procedures, methods, descriptions, and assurances as are necessary to bring the policies, procedures, methods, descriptions, and assurances into compliance with the requirements of the IDEA, as amended, as soon as possible, and not later than June 30, 2007. The State has included the date by which it expects to complete necessary changes associated with policies, procedures, methods, descriptions, and assurances marked 'No'. The items checked 'Yes' are enclosed with this application.<sup>1</sup>

Optional:

3. ☐ The State is submitting modifications to State policies and procedures previously submitted to the Department and has checked, under Section II.A, the appropriate 'R' cell(s) found in the 'Yes' column. These modifications are: (1) deemed necessary by the State, for example when the State revises applicable State law or regulations; (2) required by the Secretary because there is a new interpretation of the Act or regulations by a Federal court or the State's highest court; and/or (3) because of an official finding of noncompliance with Federal law or regulation.

**B. Conditional Approval for Current Grant Year**

**If the State received conditional approval for the current grant year, check the appropriate statement below:**

1. ☐ The State previously has submitted documentation of completion of all issues identified in the FFY 2005 conditional approval letter.
2. ☐ The State is attaching documentation of completion of all issues identified in the FFY 2005 conditional approval letter. *(Attach documentation showing completion of all issues.)*
3. ☒ The State has not completed all issues identified in the FFY 2005 conditional approval letter. *(Attach documentation showing completion of any issues and a list of items not yet completed.)* Please see attachment.

<sup>1</sup> If Option 2 is checked, the State is to provide dates in Sections II.A and II.B as to when the required policies, procedures, methods, descriptions, and assurances will be provided, which date can be no later than June 30, 2007. The State will be granted conditional approval until it can provide all policies, procedures, methods, descriptions, and assurances.

## Section II

## Section II

## A. State Policies, Procedures, Methods, and Descriptions

As checked below, the State hereby declares that it has or has not filed the following policies, procedures, methods, and descriptions with the U.S. Department of Education, and, as of the date of the signature below, affirms and incorporates by reference those policies, procedures, methods, and descriptions with respect to Part C of PL 108-446.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)		<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)		
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				<b>State Policies and Procedures</b>
		X		1. As required in 20 U.S.C. 1432(5)(A) and 1435(a)(1), the State has provided its policies and/or procedures regarding the State's definition of 'developmental delay' to ensure that a rigorous definition of the term 'developmental delay' will be used by the State in carrying out programs under this Part in order to appropriately identify infants and toddlers with disabilities that are in need of services under this Part.
		X		2. As required in 20 U.S.C. 1437(a)(9)(B), the State has provided its policies and/or procedures to ensure review of the child's program options for the period from the child's third birthday through the remainder of the school year.
		X		3. As required in 20 U.S.C. 1437(a)(9)(C), the State has provided its policies and/or procedures to ensure the establishment of a transition plan, including, as appropriate, steps to exit from the program.
			06/30/07	4. As required in 20 U.S.C. 1437(a)(6), the State has provided its policies and procedures that require the referral for early intervention services under this part of a child under the age of 3 who - (A) is involved in a substantiated case of abuse or neglect; or (B) is identified as affected by illegal substance abuse, or withdrawal symptoms resulting from prenatal drug exposure.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
			06/30/07	5. As required in 20 U.S.C. 1437(a)(9)(A), the State has provided its policies and procedures that ensures a smooth transition for toddlers receiving early intervention services under this part (and children receiving those services under by 20 U.S.C 1435(c)) to preschool, school, other appropriate services, or exiting the program, including a description of how: (i) the families of such toddlers and children will be included in the transition plans required 20 U.S.C. 1437(a)(9)(C); and (ii) the lead agency designated or established under 20 U.S.C. 1435(a)(10) will (I) notify the local educational agency for the area in which such a child resides that the child will shortly reach the age of eligibility for preschool services under Part B, as determined in accordance with State law; (II) in the case of a child who may be eligible for such preschool services, with the approval of the family of the child, convene a conference among the lead agency, the family, and the local educational agency not less than 90 days (and at the discretion of all such parties, not more than 9 months) before the child is eligible for the preschool services, to discuss any such services that the child may receive; and (III) in the case of a child who may not be eligible for such preschool services, with the approval of the family, make reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for children who are not eligible for preschool services under Part B, to discuss the appropriate services that the child may receive.
				<b>Optional Policies/Methods</b>  Type in 'NA' for not applicable under 'No' in the cells to the left if the State has not exercised this option.
		X		6. As required in 20 U.S.C. 1437(a)(4), if the State provides services to at-risk infants and toddlers through the statewide system, the State has provided its: 1) description of services to at-risk infants and toddlers, and 2) definition of 'at-risk' under 20 U.S.C. 1432(5)(B)(i).



Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
			NA	<i>Enter 'NA' in the cells to the left if the State does not have a system of payment. (See Section IV.A)</i>  7. As required in 20 U.S.C. 1432(4)(B) and 1437(a)(3)(A), the State has provided its policies and/or procedures that identify the State's system of payments for Part C services.
			NA	<i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check the 'N' cell under the 'Yes' column and attach all policies.</i>  8. As described in 20 U.S.C. 1435(c) the State has provided its policy, developed and implemented jointly by the lead agency and the State educational agency, under which parents of children with disabilities who are eligible for services under 20 U.S.C. 1419 and previously received services under this part, may choose the continuation of early intervention services (which includes an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills) for such children under this part until such children enter, or are eligible under State law to enter, kindergarten.  The statewide system ensures that--  (A) parents of children with disabilities served pursuant to 20 U.S.C. 1435(c) are provided annual notice that contains--  (i) a description of the rights of such parents to elect to receive services pursuant to 20 U.S.C. 1435(c) or under Part B; and  (ii) an explanation of the differences between services provided pursuant to 20 U.S.C. 1435(c) and services provided under Part B, including--

Check and enter date(s) as applicable. Enclose relevant documents.			N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				(I) types of services and the locations at which the services are provided;  (II) applicable procedural safeguards; and  (III) possible costs (including any fees to be charged to families as described in 20 U.S.C. 1432(4)(B)), if any, to parents of infants or toddlers with disabilities;  (B) services provided pursuant to 20 U.S.C. 1435(c) include an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills;  (C) the State policy will not affect the right of any child served pursuant to 20 U.S.C. 1435(c) to instead receive a free appropriate public education under Part B;  (D) all early intervention services outlined in the child's individualized family service plan under 20 U.S.C. 1436 are continued while any eligibility determination is being made for services under 20 U.S.C. 1435(c);  (E) the parents of infants or toddlers with disabilities (as defined in 20 U.S.C. 1432(5)(A)) provide informed written consent to the State, before such infants or toddlers reach 3 years of age, as to whether such parents intend to choose the continuation of early intervention services pursuant to 20 U.S.C. 1435(c) for such infants or toddlers;  (F) the requirements under 20 U.S.C. 1437(a)(9) shall not apply with respect to a child who is receiving services in accordance with 20 U.S.C. 1435(c) until not less than 90 days (and at the discretion of the parties to the conference, not more than 9 months) before the time the child will no longer receive those services; and  (G) there will be a referral for evaluation for early intervention

Check and enter date(s) as applicable. Enclose relevant documents.			N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>services of a child who experiences a substantiated case of trauma due to exposure to family violence (as defined in section 320 of the Family Violence Prevention and Services Act).</p> <p>The State shall submit to the Secretary, in the State's report under 20 U.S.C. 1437(b)(4)(A), a report on the number and percentage of children with disabilities who are eligible for services under 20 U.S.C. 1419 but whose parents choose for such children to continue to receive early intervention services under this part.</p> <p>A description the funds (including an identification as Federal, State, or local funds) that will be used to ensure that the option described 20 U.S.C. 1435(c)(1) is available to eligible children and families who provide the consent described in paragraph (2)(E), including fees (if any) to be charged to families as described in 20 U.S.C. 1432(4)(B).</p> <p>In accordance with 20 U.S.C. 1435(c)(5)(A), when providing services to a child with a disability who is eligible for services under 20 U.S.C. 1419 the State is not required to provide the child with a free appropriate public education under Part B for the period of time in which the child is receiving services under part C.</p>
			NA	<p><i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check either the 'N' or 'R' cell under the 'Yes' column and attach appropriate written methods. See the Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i></p> <p>9. The State has chosen to meet the requirement to establish financial responsibility for early intervention services under 20 U.S.C. 1440(b)(1) through 'appropriate written methods' under 20 U.S.C. 1440(b)(3)(c) other than State statute or regulation or signed interagency agreements.</p>

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				<b>Descriptions</b>
		X		1. As required by Section 427 of the General Education Provisions Act (GEPA), the State has identified barriers and developed strategies to address the barriers and has provided a description of the steps the State is taking to ensure equitable access to, and participation in Part C.
		X		2. As required in 20 U.S.C. 1437(a)(3)(B), the State has provided a description of early intervention services to be provided to infants and toddlers with disabilities and their families through the statewide system.
		X		3. As required in 20 U.S.C. 1437(a)(5), the State has provided a description of the uses for which funds will be expended in accordance with this part. <i>(See Section III. If the State is submitting a completed Section III, check 'N' under the 'Yes' column to the left.)</i>
		X		4. As required in 20 U.S.C. 1437(a)(7) the State has provided a description used to ensure that resources are made available under this part for all geographic areas within the State.
		X		5. As required in 20 U.S.C. 1437(a)(8) the State has provided a description that ensures that, prior to the adoption by the State of any other policy or procedure necessary to meet the requirements of this part, there are public hearings, adequate notice of the hearings, and an opportunity for comment available to the general public, including individuals with disabilities and parents of infants and toddlers with disabilities.
		X		6. As required in 20 U.S.C. 1437(a)(10) the State has provided a description of State efforts to promote collaboration among Early Head Start programs under section 645A of the Head Start Act, early education and child care programs, and services under Part C.

**B. Assurances and Optional Assurance**

The State makes the following assurances and provisions as required by Part C of the Individuals with Disabilities Education Act. (20 U.S.C. 1431 et.seq.)

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
X		1. As applicable, the assurance found in OMB Standard Form 424(B) (Assurances for Non-Construction Programs), relating to legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood insurance; environmental standards; wild and scenic river systems; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and general agreement to comply with all Federal laws, executive orders and regulations is in place.
	06/30/07	2. The State has adopted a policy that appropriate early intervention services are available to all infants and toddlers with disabilities in the State and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State, infants and toddlers with disabilities who are homeless children and their families, and infants and toddlers with disabilities who are wards of the State; and has in effect a statewide comprehensive, coordinated, multidisciplinary, interagency system to provide early intervention services, for infants and toddlers with disabilities and their families, that meet the requirements of 20 U.S.C 1401, and 1431-1443. <i>See the Optional Technical Assistance Checklist for the full provisions of 1401 and 1432.</i>
X		3. The State has in effect a policy that ensures that appropriate early intervention services based on scientifically based research, to the extent practicable, are available to all infants and toddlers with disabilities and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State and infants and toddlers with disabilities who are homeless children and their families in accordance with 20 U.S.C. 1435(a)(2).
X		4. The State has in effect a timely, comprehensive, multidisciplinary evaluation of the functioning of each infant or toddler with a disability in the State, and a family-directed identification of the needs of each

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		family of such an infant or toddler, to assist appropriately in the development of the infant or toddler in accordance with 20 U.S.C. 1435(a)(3).
	06/30/07	5. For each infant or toddler with a disability in the State, the State has an individualized family service plan in accordance with 20 U.S.C. 1436, including service coordination services in accordance with such service plan. (20 U.S.C. 1435(a)(4)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1436.</i>
X		6. The State has a comprehensive child find system, consistent with Part B, including a system for making referrals to service providers that includes timelines and provides for participation by primary referral sources and that ensures rigorous standards for appropriately identifying infants and toddlers with disabilities for services under this part that will reduce the need for future services. (20 U.S.C. 1435(a)(5))
X		7. The State has a public awareness program focusing on early identification of infants and toddlers with disabilities, including the preparation and dissemination by the lead agency designated or established under 20 U.S.C. 1435(a)(10) to all primary referral sources, especially hospitals and physicians, of information to be given to parents, especially to inform parents with premature infants, or infants with other physical risk factors associated with learning or developmental complications, on the availability of early intervention services under this part and of services under 20 U.S.C. 1419, and procedures for assisting such sources in disseminating such information to parents of infants and toddlers with disabilities. (20 U.S.C. 1435(a)(6))
X		8. The State has a central directory that includes information on early intervention services, resources, and experts available in the State and research and demonstration projects being conducted in the State. (20 U.S.C. 1435(a)(7))
X		9. The State has a comprehensive system of personnel development, including the training of paraprofessionals and the training of primary referral sources with respect to the basic components of early intervention services available in the State that

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		<p>(A) includes--</p> <ul style="list-style-type: none"> <li>(i) implementing innovative strategies and activities for the recruitment and retention of early education service providers;</li> <li>(ii) promoting the preparation of early intervention providers who are fully and appropriately qualified to provide early intervention services under this part; and</li> <li>(iii) training personnel to coordinate transition services for infants and toddlers served under this part from a program providing early intervention services under this part and under Part B (other than 20 U.S.C. 1419), to a preschool program receiving funds under 20 U.S.C. 1419, or another appropriate program; and</li> </ul> <p>(B) may include--</p> <ul style="list-style-type: none"> <li>(i) training personnel to work in rural and inner-city areas; and</li> <li>(ii) training personnel in the emotional and social development of young children.</li> </ul> <p>(20 U.S.C. 1435(a)(8)(A) and (B))</p>
	06/30/07	<p>10. The State has policies and procedures relating to the establishment and maintenance of qualifications to ensure that personnel necessary to carry out this part are appropriately and adequately prepared and trained, including the establishment and maintenance of qualifications that are consistent with any State-approved or recognized certification, licensing, registration, or other comparable requirements that apply to the area in which such personnel are providing early intervention services, except that nothing in this part (including this paragraph) shall be construed to prohibit the use of paraprofessionals and assistants who are appropriately trained and supervised in accordance with State law, regulation, or written policy, to assist in the provision of early intervention services under this part to infants and toddlers with disabilities. (20 U.S.C. 1432 and 1435(a)(9))</p>

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
X		<p>11. The State has a single line of responsibility in a lead agency designated or established by the Governor for carrying out -</p> <ul style="list-style-type: none"> <li>(A) the general administration and supervision of programs and activities receiving assistance under 20 U.S.C. 1433, and the monitoring of programs and activities used by the State to carry out this part, whether or not such programs or activities are receiving assistance made available under 20 U.S.C. 1433, to ensure that the State complies with this part;</li> <li>(B) the identification and coordination of all available resources within the State from Federal, State, local, and private sources;</li> <li>(C) the assignment of financial responsibility in accordance with 20 U.S.C. 1437(a)(2) to the appropriate agencies;</li> <li>(D) the development of procedures to ensure that services are provided to infants and toddlers with disabilities and their families under this part in a timely manner pending the resolution of any disputes among public agencies or service providers;</li> <li>(E) the resolution of intra- and interagency disputes; and</li> <li>(F) the entry into formal interagency agreements that define the financial responsibility of each agency for paying for early intervention services (consistent with State law) and procedures for resolving disputes and that include all additional components necessary to ensure meaningful cooperation and coordination. <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i></li> </ul> <p>(20 U.S.C. 1435(a)(10)(A)-(F) and 1440)</p>
X		<p>12. The State has a policy pertaining to the contracting or making of other arrangements with service providers to provide early intervention services in the State, consistent with the provisions of Part C, including the contents of the application used and the conditions of the contract or other arrangements. (20 U.S.C. 1435(a)(11))</p>



Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
X		13. The State has a procedure for securing timely reimbursements of funds used under this part in accordance with 20 U.S.C. 1440(a). See <i>Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i> (20 U.S.C. 1435(a)(12) and 1440)
	06/30/07	14. The State has procedural safeguards with respect to programs under this part, as required by 20 U.S.C. 1439. (20 U.S.C. 1435(a)(13)) See <i>Optional Technical Assistance Checklist for applicable provisions of 20 U.S.C. 1415 and 1439.</i>
X		15. The State has a system for compiling data requested by the Secretary under section 618 that relates to this part. (20 U.S.C. 1418, 1435(a)(14) and 1442)
	06/30/07	16. The State has a State interagency coordinating council that meets the requirements of 20 U.S.C. 1441. (20 U.S.C. 1435(a)(15)) See <i>Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1441.</i>
	06/30/07	17. The State has policies and procedures to ensure that, consistent with 20 U.S.C 1436(d)(5): A) to the maximum extent appropriate, early intervention services are provided in natural environments; and B) the provision of early intervention services for any infant or toddler with a disability occurs in a setting other than a natural environment that is most appropriate, as determined by the parent and the individualized family service plan team, only when early intervention cannot be achieved satisfactorily for the infant or toddler in a natural environment. (20 U.S.C. 1435(a)(16))
X		18. The State ensures that Federal funds made available under 20 U.S.C. 1443 will be expended in accordance with this part. (20 U.S.C. 1437(b)(1) and 1438)
X		19. The State ensures that it has methods in place to comply with the requirements of 20 U.S.C. 1440. (20 U.S.C. 1437(b)(2)) <i>State's response should be consistent with Certification #3 below.</i>
X		20. The State ensures that the control of funds provided under 20 U.S.C. 1442, and title to property derived from these funds, will be in a public

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		1443, and title to property derived from those funds, will be in a public agency for the uses and purposes provided in this part and that a public agency will administer such funds and property. (20 U.S.C. 1437(b)(3))
X		21. The State ensures that provisions shall be made for--  (A) making such reports in such form and containing such information as the Secretary may require to carry out the Secretary's functions under this part; and  (B) keeping such reports and affording such access to the reports as the Secretary may find necessary to ensure the correctness and verification of those reports and proper disbursement of Federal funds under this part. (20 U.S.C. 1437(b)(4))
X		22. The State ensures that the Federal funds made available under 20 U.S.C. 1443 to the State--  (A) will not be commingled with State funds; and  (B) will be used so as to supplement the level of State and local funds expended for infants and toddlers with disabilities and their families and in no case to supplant those State and local funds. (20 U.S.C. 1437(b)(5))
X		23. The State ensures that fiscal control and fund accounting procedures will be adopted as may be necessary to ensure proper disbursement of, and accounting for, Federal funds paid under 20 U.S.C. 1443 to the State. (20 U.S.C. 1437(b)(6))
X		24. The State ensures that policies and procedures have been adopted to ensure meaningful involvement of underserved groups, including minority, low-income, homeless, and rural families and children with disabilities who are wards of the State, in the planning and implementation of all the requirements of Part C. (20 U.S.C. 1437(b)(7))

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
X		25. The State assures that it shall provide other information and assurances as the Secretary may reasonably require by regulation. (20 U.S.C. 1437(b)(8).
		<b>Optional Assurance</b>
X		<p><i>Enter 'NA' in the cells to the left if this assurance is not applicable.</i></p> <p>26. The State has adopted a policy that includes making ongoing good-faith efforts to recruit and hire appropriately and adequately trained personnel to provide early intervention services to infants and toddlers with disabilities, including, in a geographic area of the State where there is a shortage of such personnel, the most qualified individuals available who are making satisfactory progress toward completing applicable course work necessary to meet the standards described in 20 U.S.C. 1435(a)(9). (20 U.S.C. 1435(b))</p>

**C. Certifications**

The State Lead Agency is providing the following certifications:

Yes	
X	<p>1. The State certifies that ED Form 80-0013, <i>Certification Regarding Lobbying</i>, is on file with the Secretary of Education.</p> <p>With respect to the <i>Certification Regarding Lobbying</i> the State recertifies that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; that the State shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 CFR Part 82, Appendix B); and that the State Agency shall require the full certification, as set forth in 34 CFR Part 82, Appendix A, in the award documents for all sub awards at all tiers.</p>
X	<p>2. The State certifies that it has met the certifications in the Education Department General Administrative Regulations (EDGAR) at 34 CFR §80.11 relating to State eligibility, authority and approval to submit and carry out the provisions of its State application, and consistency of that application with State law are in place within the State.</p>
X	<p>3. The State certifies that the methods or arrangements to establish financial responsibility for early intervention services provided under Part C pursuant to 20 U.S.C. 1440(b) are current as of the date of this Application certification. (20 U.S.C. 1437(a)(2) and 1440). <i>See Item 9 in Section II.A above regarding including, with this Application for the Secretary's review, 'other appropriate written methods' to meet the requirements of 20 U.S.C. 1440(b). State's response under Assurance #19 above should be consistent with its response to this Certification.</i></p>

**D. Statement**

I certify that the State of California has provided the policies, procedures, methods, descriptions, and assurances checked as 'yes' in Sections II.A and II.B and the certifications required in Section II.C of this application. These provisions meet the requirements of Part C of the Individuals with Disabilities Education Act as found in PL 108-446. The State will operate its Part C program in accordance with all of the required policies, procedures, methods, descriptions, assurances and certifications.

If any policies, procedures, methods, descriptions, and assurances have been checked 'no', I certify that the State will operate throughout the period of this grant award consistent with the requirements of the IDEA as found in PL 108-446 and any applicable regulations, and will make such changes to existing policies and procedures as are necessary to bring those policies and procedures into compliance with the requirements of the IDEA, as amended, as soon as possible, and not later than July 1, 2007. (34 CFR §76.104)

I, the undersigned authorized official of the California Department of Developmental Services, am designated under Part C by the Governor of this State to submit this application for FFY 2006 funds under Part C of the Individuals with Disabilities Education Act (IDEA).

Dale Sorbello, Acting Chief Deputy Director, Department of Developmental Services	
Signature:	Date:

## Section III

### Section III

#### A. Description of Use of Funds

This section of the application reflects the components of the annual budget for the Federal Part C 2006 funds. The following chart displays the projected Annual Early Start Resource Allocation Plan. The Annual Early Start Resource Allocation Plan will be finalized when the State Legislature submits the Budget Act to the Governor for signature, and the Budget is signed into law. It is anticipated that the State Legislature will have the Budget Act before the Governor for signature in June/July of each year. In no case shall any budget revisions reduce funding for direct services provided by the implementing agencies.

The Annual Early Start Resource Allocation Plan is also based on the premise that the State's pre-Part C early intervention service delivery system for infants and toddlers will continue to exist and the amount of Part C funds allocated to California in subsequent years will not be reduced. Following the chart is a narrative overview of the proposed distribution of Part C funds for the listed components/activities and a listing of Part C administrative positions with salaries and benefits and a description of duties.

<b>PROJECTED<sup>1</sup></b>	
ANNUAL EARLY START RESOURCE ALLOCATION PLAN Federal Fiscal Year 2006	
<b>STATE LEVEL SYSTEM REQUIREMENTS:</b>	<b>\$2,865,000</b>
Public Awareness & Central Directory (\$417,000)	
Comprehensive System of Personnel Development (\$2,268,000)	
Procedural Safeguards (\$180,000)	
<b>Part C SYSTEM SERVICES:</b>	<b>\$46,164,123</b>
CDE/Local Education Agencies (\$14,200,000)	
DDS/Regional Centers (\$31,964,123)	
<b>FAMILY RESOURCE CENTER/NETWORKS:</b>	<b>\$2,750,000</b>
<b>STATE ADMINISTRATION:</b>	<b>\$2,199,000</b>
Department of Developmental Services (\$1,519,000)	
California Department of Education (\$235,000)	
Department of Health Services (\$45,000)	
State Administrative Overhead (\$400,000) <sup>2</sup>	
<b>INTERAGENCY COORDINATING COUNCIL<sup>3</sup>:</b>	<b>\$94,000</b>
<b>ANNUAL FEDERAL GRANT TOTAL</b>	<b>\$54,072,123</b>

### Use of Funds

<sup>1</sup> Funds from Federal Fiscal Year 2006 are proposed for expenditure in the 2007/08 State Fiscal Year. The annual Early Intervention Resource Allocation Plan will be revised as necessary, and finalized when the State Legislature submits the annual Budget to the Governor for signature, and the Budget Act is signed into law for the identified State Fiscal Year.

<sup>2</sup> California has submitted the restricted cost rate proposal to the Federal Department of Education (DOE) for this grant period. Notice of approval, when received from DOE, will be forwarded to California's project officer in the Office of Special Education Programs.

<sup>3</sup> Reflects operating expenses. Staff support included in DDS Administration.



**B. Mandated State Level System Requirements** **\$2,865,000**

a. Public Awareness and Central Directory **\$417,000**

The allocation for this component represents the portion of the public awareness efforts conducted under the direction of the lead agency through a contract with the WestEd Center for Prevention and Early Intervention for the Early Start Resources (ESR) project. Funds are used to develop and maintain printed brochures and materials for the purpose of public awareness and outreach (child find) activities related to Early Start. Input on the content of the outreach materials is obtained from the ICC and the Family Resource Center Network of California, when appropriate. Funds are also used to disseminate, reprint, revise, or prepare additional translations of Early Start outreach materials developed with Part C funds. Activities focus on meeting the diverse needs of the population of California and ensuring continued awareness of Early Start by families, professionals, hard to reach and historically under represented populations, and primary referral sources.

Funds under this category also support the maintenance and dissemination of the Central Directory. The electronic database for the Central Directory is updated by the WestEd contractor and copies are printed and widely disseminated throughout the State each year. The Central Directory is also available electronically on the DDS web site at [www.dds.ca.gov/earlystart](http://www.dds.ca.gov/earlystart). California's Central Directory meets the federal requirement by enabling the general public to determine the nature and scope of the early intervention service system and how to access assistance throughout the State. A toll-free telephone number for Early Start, 800-515-BABY, is also included in outreach materials. Both English and Spanish inquiries can be handled through the toll-free line. Inquiries can also be submitted by e-mail to the following address: [earlystart@dds.ca.gov](mailto:earlystart@dds.ca.gov).

The contractor also maintains an ESR Library in Sacramento, California. Early intervention resource materials, including videos, books and other written materials are available for check-out. The public is informed of accessibility of the early intervention library at conferences, workshops and meetings, through technical assistance and resource contacts, and on electronic bulletin boards. Access to the library materials is provided via walk-in, mail, or toll-free at 800-869-4337. The ESR Library materials are also listed online on the WestEd Center for Prevention and Early Intervention web site at [www.wested.org/cpei](http://www.wested.org/cpei).

b. Comprehensive System of Personnel Development (CSPD) \$2,268,000

The allocation for this component represents the portion of the CSPD activities conducted under the direction of the lead agency through a contract with the WestEd Center for Prevention and Early Intervention for the California Early Intervention Technical Assistance Network (CEITAN) project. The following components are included in this contract:

1) Early Start CSPD Statewide Training Institute Series \$1,182,000

The Institutes deliver training in early intervention competencies based on a curriculum developed in collaboration with representatives of colleges and universities and professional organizations of the various disciplines identified in Part C. In addition to the curriculum institutes, presented as Cores I-III, training institutes are provided specifically for service coordinators and supervisors of service coordinators. The curriculum for these training institutes is supported by a Service Coordinator's Handbook. In addition, special topic trainings are held each year and are designed to meet State and locally identified personnel and program development needs. The series of institutes and trainings are scheduled throughout the year at various locations within California.

In order to support California's unique Part C funded Family Resource Centers (FRCs), an annual training institute is held specifically for personnel working at an FRC (primarily parents).

Information on all Part C training events is available on the DDS and WestEd websites.

2) Early Start Personnel Development Scholarship Fund \$350,000

Part C scholarship funds are available to early intervention service providers and FRC/Ns in order to maximize opportunity and access to applicable training events, as well as college course work scholarships, grants for local training events, and start-up grants to promote local early intervention personnel development programs that include interagency and family collaboration components.

3) Community College Personnel Preparation Project \$177,000

This is a special project addressing all aspects necessary to implement a curriculum program and Early Intervention Assistant Certificate in coordination with the California Community College Chancellor's Office.

4) Consultant Network and Other Contract Tasks \$559,000

The “Consultant Network” provides assistance to DDS in the implementation of a technical assistance model that includes support for field consultants participating in monitoring site visits, follow-up to monitoring site visits or complaint investigations, special projects, and the provision of support and assistance to FRC/Ns. WestEd staff also assist DDS in providing support to the State ICC and ICC Sub-Committees. All CSPD activities are coordinated with other statewide personnel development efforts, including CSPD efforts under Part B of IDEA.

c. Procedural Safeguards: Mediation and Due Process Hearings \$180,000

DDS allocates Part C funds through a contract/interagency agreement with the Office of Administrative Hearings, Department of General Services, under the Secretary of State and Consumer Services Agency, to conduct state-level mediation (if requested by the family) and due process hearings, and to provide records of the proceedings along with written decisions.

**C. Early Start System Services (Direct Services) \$46,164,123**

Part C funds augment services for eligible children served through the regional center system and Local Education Agencies (LEAs) and ensure the year-round, statewide availability of services. The funds also support the supplemental operational costs due to the implementation of Early Start. The direct service elements are described in the following:

a. CDE - Local Education Agencies \$14,200,000

A significant direct service expansion, due to the implementation of Early Start in California, was the extension of services statewide to infants and toddlers with solely low incidence disabilities: vision impairment, hearing impairment, severe orthopedic impairment, or any combination, thereof, who are not eligible for services under the Lanterman Developmental Disabilities Services Act. The California Early Intervention Services Act established a statewide mandate for LEAs to provide services to infants and toddlers with solely low incidence disabilities who do not qualify for regional center services. In order to meet the needs statewide of unserved infants and toddlers with solely low incidence disabilities, existing LEA programs were expanded or initiated, as needed, during the first year of full implementation of Early Start. In developing new programs or planning expansions, LEAs and regional centers took into account private service programs and evaluated contracting for services. Even though children with solely low incidence disabilities may also be receiving services from other public or private non-profit agencies, special education local plan agencies are the payor of last resort for services to infants entering the Early Start service system with solely low incidence disabilities who are not eligible for regional center services.

In addition, funding for regionalized services, program specialists, books, materials, assistive devices, equipment, specialized services and other special regionalized projects are included in the funding estimate for LEAs. The expense of additional marginal impacts of Early Start (timelines, assessments, IFSPs, and service coordination/interagency coordination) for the population to be served by LEAs is also included in the proposed expenditure.

LEAs are required to receive and act on referrals for services, perform evaluations, conduct assessments, and develop IFSPs in accordance with federal regulations. In addition, LEAs are required to report information that satisfies the federal Office of Special Education Program and the California Department of Finance data reporting requirements.

b. Department of Developmental Services - Regional Centers \$31,964,123

Regional Centers are required to conduct child find activities, receive and act on referrals for services, perform evaluations, conduct assessments, and develop IFSPs in accordance with federal regulations. The regional centers are considered the payor of last resort for services to all infants and toddlers entering the Early Start service system who do not have a solely low incidence disability. A portion of the funds provided to regional centers for operations adjusts for the marginal cost impact of replacing the State's Individual Program Plan (IPP) process and time lines with the IFSP process and time lines. The allocation also addresses clinical support in order to assist in developing assessment information in a timely manner as well as service coordination and interagency coordination. Operations funding also addresses the activities to ensure compliance with federal fiscal and audit requirements that presented new and expanded demands on regional center administration. Regional centers are also required to report information that satisfies the federal Office of Special Education Programs data reporting requirements. Federal funds are allocated to regional centers for data collection, reporting, and technical and clerical support activities related to Early Start.

The other portion of the funds allocated to regional centers under this part addresses the increased cost for direct services due to the implementation of Early Start. Costs due to the implementation of Part C in California far exceeds the Part C allocation. This impact over and above the Part C funds is born by the State's General Fund.

**c. Early Start Family Resource Centers (FRCs) \$2,750,000**

Parent-to-parent, family-centered support is an important factor of Early Start in California. FRCs provide parent/family support in a non-clinical family-centered atmosphere. They also assist in fulfilling an information and referral function. Through parent-to-parent support, FRC/Ns understand the emotional needs of families, and provide assistance in understanding the local service processes and transitions. The FRCs provide a foundation for family and professional collaboration, promoting positive relationships and joint problem solving in early intervention services.

FRCs also assist in local public awareness efforts and often fulfill the initial information and referral function with locally publicized toll free telephone numbers in English and Spanish. FRCs have a large cadre of parent volunteers of differing backgrounds and ethnicities that represent the people that live within their communities. They assist with outreach to the populations often hardest to reach, which may include racial and ethnic minority groups, low-income, inner-city, and very rural populations.

**D. State Administration of Early Start \$2,199,000**

Administrative Positions

This section provides an overview of the responsibilities of the State departments participating in the implementation of Part C, as well as the positions funded and the duties of those positions, as required by the Federal Office of Special Education Programs.

**a. Department of Developmental Services - Lead Agency \$1,519,000**  
(Grant Administration; Supervision and Monitoring; and Technical Assistance)

The responsibilities for DDS, as the lead agency responsible for the overall administration and coordination of the statewide programs include:

- 1) Act as the single point of contact for Early Start program administrative issues with the federal government.
- 2) Administer Part C funds in accordance with Part C of the Individuals with Disabilities Education Act, and applicable regulations and approved state application.
- 3) Administer the mandatory and discretionary components of Part C as specified in the California Early Intervention Services Act.
- 4) Administer fiscal arrangements and interagency agreements with participating agencies and community-based organizations.
- 5) Maintain interagency procedures, as are necessary to share agency information and to coordinate policy making activities.
- 6) Adopt and maintain written procedures for receiving and resolving complaints regarding violations of Part C.
- 7) Implement and maintain procedural safeguards that comply with Part C.
- 8) Monitor agencies, institutions, and organizations receiving assistance under Part C.

- 9) Maintain staff for the Early Start program to ensure that all commitments and required activities for receipt of the federal funds are fulfilled.
- 10) Interpret Part C policy and state regulations pertaining to regional centers and other local participants.
- 11) Provide ongoing technical assistance on Early Start to regional centers and FRCs.
- 12) Convene meetings of the participating agencies to share agency information and to coordinate policy-making activities.
- 13) Ensure the provision of appropriate early intervention services to all infants eligible under the California Early Intervention Services Act, except for those infants who have a solely low incidence disability and who are not eligible for regional center services.

Activities in 5-8 above are performed in collaboration with California Department of Education.

Some of the administrative positions in DDS also provide support to the Interagency Coordinating Council (ICC). The cost of this support is in addition to the costs displayed under section F below.

The following is a list of the Part C administrative positions in DDS. A brief description of the duties for each position is included with projected salaries and fringe benefits displayed. In addition to salaries, the Lead Agency's administrative budget for the grant period includes operating expenses and equipment.

Position	Salary and Fringe	Total Part C	% Part C Admin	% ICC	Description of Duties
Staff Services Manager III	\$112,764	<b>50%</b>	40%	10%	As Part C Coordinator for California Early Start, represent the Part C lead agency in policy discussions with the federal Office of Special Education Programs and with other participating agencies within California; ensure interagency coordination of Early Start; provide management of Early Start to ensure federal compliance; and represent the lead agency on the State Interagency Coordinating Council for Early Intervention..
Medical Consultant	\$172,326	<b>10%</b>	10%		Provide technical assistance and consultation on health issues and medical care to headquarters staff and regional center clinical teams.
Community Program Specialist IV	\$101,448	<b>100%</b>	80%	20%	Manage and direct Early Start Section activities: policy development, annual grant application and federal fund accountability, performance plan development and annual federal reporting, local program monitoring, Comprehensive System of Personnel Development, public awareness and outreach, interagency collaboration, administration of interagency agreements and fiscal arrangements; and provide coordination between the ICC and the staff supporting the ICC.
Nurse Consultant III	\$107,274	<b>100%</b>	95%	5%	Provide clinical technical assistance and support in the monitoring of local Early Start entities and analysis of State Performance Plan indicators. Provide technical assistance and support on statewide projects and activities related to interagency collaboration, outreach, and personnel development. Liaison activities to the ICC committees.
Community Program Specialist III	\$92,411	<b>100%</b>	80%	20%	Supervise activities of staff performing statewide Early Start activities, including contract management for CSPD and public awareness tasks; act in a lead capacity on critical or most difficult assignments; conduct and direct staff in analysis of legislative proposals impacting children served under Early Start; and supervision of staff supporting the ICC.
Community Program Specialist III	\$92,411	<b>100%</b>	95%	5%	Supervise activities of staff performing monitoring of local Early Start entities; lead staff on federal data reporting; Early Start family resource center contract management and allocation process; act in a lead capacity on critical or most difficult assignments; and provide assistance on regional center budget development. Liaison activities to the ICC committees.

Position	Salary and Fringe	Total Part C	% Part C Admin	% ICC	Description of Duties
Research Program Specialist I	\$88,586	100%	100%		Conduct data gathering activities and other statistical/analytical tasks to support program evaluation and data reporting.
Community Program Specialist II (5 positions)	\$66,376 to \$80,646	100%	95%	5%	Conduct technical assistance to regional centers, local education agencies and family resource centers; conduct evaluation and monitoring activities; provide follow up consultation following monitoring; provide consultation on compliance complaint follow up activities; track key performance indicators related to Early Start program performance; and develop and monitor contracts related to family support services. Liaison activities to ICC committees.
Community Program Specialist II	\$80,646	100%	35%	65%	Provide staff support to ICC, including preparation of ICC meeting minutes, and compile meeting packets; develop annual performance report in collaboration with ICC; and coordinate and participate in delivering statewide training under CSPD.
Community Program Specialist II	\$80,646	100%	95%	5%	Coordinate and participate in development of public awareness materials, including annual production of Central Directory; provide staff support in development and maintenance of interagency agreements and memoranda of understanding from participating agencies and other entities; also provide staff support on fiscal arrangements. Liaison activities to ICC committees
Community Program Specialist II (4/5 time)	\$72,581	100%	100%		Investigate and prepare reports of findings regarding alleged violations of consumer's rights related to the California Early Start Program.
Associate Governmental Program Analyst	\$80,646	100%	95%	5%	Assist in data/resource gathering activities and other statistical/analytical tasks to support program evaluation and data reporting; maintain database budget allocations for fiscal accountability including accountability of ICC expenditures; and develop annual grant application package, and fiscal interagency agreements.
Senior Programmer Analyst	\$61,266	100%	100%		As lead specialist, perform and provide Early Start information technology, report preparation, data analysis and data extraction; and create and maintain management information database files.
Office Technician (3 positions)	\$49,223	100%	95%	5%	Provide clerical support to Lead Agency staff and ICC staff support.
Office Technician (half-time position)	\$24,416	100%	25%	75%	Provide clerical support to Lead Agency staff and ICC staff support.



**E. Activities by Other Agencies**

- a. California Department of Education (CDE) \$235,000  
(Administration; Supervision and Monitoring; and Technical Assistance)

The responsibilities for CDE include:

- 1) Collaborate with DDS on the Lead Agency's responsibilities listed under 4.a. above, items 5 through 8.
- 2) Interpret Part C policy and State regulations pertaining to LEAs.
- 3) Provide ongoing technical assistance on Early Start to SELPAs, SEACOs, and LEAs.
- 4) Administer Part C funds allocated to CDE (and/or local education agencies) for early intervention services and required system components.
- 5) Participate in due process procedures and dispute resolution, and complaint resolution as necessary.
- 6) Ensure Part B and Part C transition requirements, for toddlers suspected to be in need of services under Part B at age three, are met by LEAs.
- 7) Through LEAs, provide or contract for children with solely low incidence disabilities who are not eligible for services under the Lanterman Developmental Disabilities Act.

The following is a list of the federally funded Part C positions in CDE. A brief description of the duties for each position is included with projected salary and fringe benefits displayed.

<i>Position</i>	<b>Salary and Fringe</b>	<b>% Part C CDE</b>	<b>Description of Duties</b>
Education Administrator	\$100,000	10%	CDE ICC Representative; Liaison between CDE/DDS.
Special Education Consultant	\$89,000	40%	Review and identify federal grants and notices of significance to Part C programs and prepare appropriate responses; serve as the contract monitor for Part C grant funding provided to local education agencies (LEAs); provide technical assistance to national and State agencies and organizations; participate in the development, adoption and implementation of the State application of Part C funds; and participate in Part C Full-Scope reviews with DDS personnel.
Special Education Consultant	\$89,000	10%	CDE Representative to the ICC Public Awareness Committee.
Special Education Consultant	\$89,000	50%	CDE Representative to the ICC Integrated Services & Health Committee; review and identify federal grants and notices of significance to Part C programs and prepare appropriate responses; and provide technical assistance to national and State agencies and organizations.
Child Development Consultant	\$89,000	10%	CDE Representative to the ICC Family Resources & Support Committee.
Associate Governmental Program Analyst	\$69,000	50%	Provide data and fiscal reports to DDS at prescribed intervals in accordance with the interagency agreement; participate in interagency data gathering activities with DDS; develop and analyze data to prepare statistical reports for future funding of SELPA/LEA participation in Part C activities to ensure compliance with federal mandates; and provide technical assistance to SELPAs/LEAs regarding Part C funding.

## b. Department of Health Services (DHS)

\$45,000

The following is a description of the administrative positions partially funded with Part C funds in DHS. A brief description of the duties is included with projected salary and fringe benefits displayed.

<b>Position</b>	<b>Salary and Fringe</b>	<b>% Part C DHS</b>	<b>Description of Duties</b>
Medical Consultant-Branch Chief	\$166,728	5%	Plan, organize, coordinate, and direct all statewide activities for programs administered by the Children's Medical Services (CMS) Branch; develop and maintain standards for agencies, personnel, and facilities participating in these programs; evaluate and assess statewide needs; develop policies and procedures for programs; maintain liaison activities and interpret policy to other DHS programs and State agencies, as well as numerous professional organizations and advisory committees.
Medical Consultant	\$164,592	12%	Function as a highly technical consultant responsible for developing, implementing, and monitoring the medical aspects of the Newborn Hearing Screening Program (NHSP) and various other programs within the CMS Branch; develop program policy, standards, and procedures for Branch programs and provide training, technical assistance, and consultation to State and county program staff, as well as provider organizations, other State departments, and outside agencies; coordinate Branch activities related to the delivery of early intervention services and participate in the development and review of regulations governing early intervention services; and serve as DHS ICC representative.

<b>Position</b>	<b>Salary and Fringe</b>	<b>% Part C DHS</b>	<b>Description of Duties</b>
Health Education Consultant III	\$87,076	6%	Functions as a technical specialist and provides expert advice/complex consultation to a variety of individuals, programs, and public health agencies; evaluates the health education components of major projects to ensure statewide program consistency; and performs various other activities associated with health education. Prepares training manuals and participates in statewide training on the NHSP for state staff, local California Children Services and Child Health and Disability Prevention program staff, and hospital administrators and professional staff; assists hospital staff in development and implementation of hearing screening program. Develops materials for use in education and outreach to providers and families; develops and updates a fact sheet regarding recent literature, audiology providers, hospitals and public health agencies.
Health Program Manager I	\$86,577	15%	Responsible for planning, implementing, monitoring and supervising the scope of work performed by staff involved with development and implementation of the NHSP and Parent Education-Early Childhood Development Program (PE-ECDP) as well as other section staff involved in development of program regulations, policies, and procedures. Plans and implements training programs for state and county CMS staff, other departmental programs, local agencies, and providers; provides consultation and technical assistance to contractors, state and county staff, and local health agencies; assists in preparation of education and outreach materials to inform providers and families of the availability and benefits of new programs.

**F. State Interagency Coordinating Council (ICC) \$94,000<sup>4</sup>**

California continues to provide funds to support the ICC's estimated annual expenditures by the following categories.

California Interagency Coordinating Council Annual Budget Allocation	
General Expenses, including communications, postage, printing, copying and meeting room costs	\$44,000
Travel	50,000
TOTAL	\$94,000

In addition to the above operating expenses for the ICC, DDS provides administrative support to the ICC. The description of the duties for each position supporting the ICC is included in the DDS administrative positions description included under section D above.

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<sup>4</sup> Staff supporting ICC is included in chart under DDS Administrative Positions, Salaries and Description on pages 25-26 of this application.

## Section IV

## Section IV

### A. System of Payments / Use of Insurance / Program Income

The State

\_\_\_\_\_ does (check as applicable)

\_\_\_X\_\_\_ does not (check as applicable)

have a system of payments for Part C services under 20 U.S.C. 1432(4)(b) which may include use of public and/or private insurance or family fees, such as a sliding scale. Any family fees are treated as 'program income' for purposes of 34 CFR §80.25 and are not included in the State's determination of State and local expenditures for purposes of 20 U.S.C. 1437(b)(5)(B). *Note: If the State has adopted new or has revised its existing policies and procedures regarding its system of payments, it must submit these new and/or revised policies and procedures under Item 5 in Section II.A above.*

### B. Restricted Indirect Cost Rate/Cost Allocation Plan Information

(Note: To be completed if Lead Agency is not a State Educational Agency.)

If the lead agency is not a State Educational Agency, please check applicable status below (more than one check mark may be necessary) and enclose appropriate documentation for this Federal Fiscal Year.

\_\_\_\_\_ The lead agency has a final restricted indirect cost rate or cost allocation plan that has been approved by the State lead agency's cognizant Federal agency and is in effect for this Federal fiscal year (FFY) (ending on June 30, 2008). (Attach a copy of the approved restricted indirect cost rate agreement or cost allocation plan.)

\_\_\_X\_\_\_ The lead agency has either a provisional or final restricted indirect cost rate or cost allocation plan that expires or expired on 06/30/06 and the State is in the process of negotiating a new restricted indirect cost rate agreement or cost allocation plan that will be in effect for the period 07/01/06.<sup>3</sup> The State lead agency will continue to charge or bill the Part C grant using the provisional or previously approved final restricted indirect cost rate or cost allocation plan until a new rate or plan is negotiated and approved by the State's cognizant Federal agency, at which point the State lead agency must make appropriate adjustments for applicable FFYs. The State acknowledges that a final restricted indirect cost rate may result in an adjustment of the final audited expenditures allowable to be charged to the Part C grant and the Department's approval of this FFY Part C application with an expired or provisional restricted indirect cost rate does not constitute approval of that rate as the final rate for the lead agency for this FFY. When a final restricted indirect cost rate is approved, the lead agency must submit to OSEP: (1) a copy of the "final" restricted indirect cost rate agreement; and (2) details of adjustments made to past GAPS draw downs in light of the "final" rate. (Attach a copy of the previously approved restricted indirect cost rate agreement or cost allocation plan.)

\_\_\_\_\_ No indirect costs are charged to the Part C grant. The total amount of the Federal Part C grant is used for allowable direct costs.

\_\_\_\_\_ Other, explanation attached.

<sup>3</sup> A "provisional" indirect cost rate is a temporary rate established for a future prospective period of time to permit budgeting, obligations, and payment of funds by awarding agencies until such time as the actual indirect costs can be determined and a final rate is established for the applicable period; provisional rates are subject to adjustment by issuance of a "final" rate based on actual indirect costs incurred for the period (usually the organization's fiscal year).

COPY

INDIRECT COST RATE AGREEMENT  
STATE AGENCY

ORGANIZATION:  
California Department of  
Developmental Services  
1600 Ninth Street  
Sacramento, California 95814

DATE: JUL - 5 2005  
AGREEMENT NO. 2005-165  
FILING REFERENCE: This replaces  
previous Agreement No. 2004-074  
dated August 19, 2004

The purpose of this Agreement is to establish indirect cost rates for use in award and management of Federal contracts, grants, and other assistance arrangements to which Office of Management and Budget (OMB) Circular A-87 applies. The U.S. Department of Education negotiated the rates pursuant to the authority cited in Attachment A of OMB Circular A-87.

This Agreement consists of four parts: Section I - Rates and Bases; Section II - Particulars; Section III - Special Remarks; and Section IV - Approvals.

Section I - Rate(s) and Base(s)

TYPE	<u>Effective Period</u>		Rate	<u>Coverage</u>		
	<u>From</u>	<u>To</u>		<u>Base</u>	<u>Location</u>	<u>Applicability</u>
Final	07-01-2001	06-30-2002	22.2%	1/	All	2/
Final	07-01-2002	06-30-2003	25.0%	1/	All	2/
Final	07-01-2003	06-30-2004	22.3%	1/	All	2/
Provisional	07-01-2004	06-30-2006	22.3%	1/	All	2/

1/ Total Direct Costs less items of Equipment, the portion of individual sub-contacts exceeding \$25,000, and flow-through funds.

2/ All federal programs limiting indirect costs to the use of a Restricted Rate as defined in 34 CFR 76.561-569.

Treatment of Fringe Benefits: Generally, the Organization treats fringe benefits applicable to direct salaries and wages as direct costs. In accordance with OMB Circular A-87, Attachment B (11)(d)(3), it does not charge payments to separating employees for unused leave as direct costs on federal awards.

Capitalization Policy: Equipment items with an acquisition cost of \$5,000 or more, and an estimated useful life of at least one year, are capitalized and depreciated.



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Section II - Particulars

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SCOPE: The indirect cost rate(s) contained herein are for use with grants, contracts, and other financial assistance agreements awarded by the Federal Government to the California Department of Developmental Services and subject to Office of Management and Budget Circular A-87.

LIMITATIONS: Application of the rate(s) contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payment of costs hereunder is subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rate(s) agreed to herein is predicated on the conditions: (A) No costs other than those incurred by the State Agency were included in the indirect cost pools as finally accepted, and such costs are legal obligations of the State Agency and applicable under the governing cost principles; (B) The same costs that have been treated as indirect costs are not claimed as direct costs; (C) Similar types of information which are provided by the agency, and which was used as a basis for acceptance of rates agreed to herein are not subsequently found to be materially incomplete or inaccurate; and (D) Similar types of costs have been accorded consistent accounting treatment.

ACCOUNTING CHANGES: Fixed or Predetermined rates contained in this Agreement are based on the accounting system in effect at the time the Agreement was negotiated. When changes to the method of accounting for costs affect the amount of reimbursement resulting from the use of these rates, the changes will require the prior approval of the authorized representative of the cognizant negotiation agency. Such changes include, but are not limited to changing a particular type of cost from an indirect to a direct charge. Failure to obtain such approval may result in subsequent cost disallowances.

FIXED RATE: The negotiated rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made in a subsequent negotiation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

NOTIFICATION TO OTHER FEDERAL AGENCIES: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

AUDIT: If a rate in this Agreement contains amounts from a cost allocation plan, future audit adjustments that affect this cost allocation plan will be compensated for during the rate approval process of a subsequent year.

COPY

ORGANIZATION: CALIFORNIA DEPARTMENT OF DEVELOPMENTAL SERVICES Page 03

Section III - Special Remarks

1. This Agreement is effective on the date of approval by the Federal Government.
2. Questions regarding this Agreement should be directed to the Negotiator.
3. Approval of the rate(s) contained herein does not establish acceptance of the State Agency's total methodology for the computation of indirect cost rates for years other than the year(s) herein cited.
4. Federal programs currently reimbursing indirect costs to this Department/Agency by means other than the rate(s) cited in this agreement should be credited for such costs and the applicable rate cited herein applied to the appropriate base to identify the proper amount of indirect costs allocable to the program.

Section IV - Approvals

For the State Agency:

California Department of  
Developmental Services  
1600 Ninth Street  
Sacramento, California 95814



Signature

ALVIN LUM

Name

CHIEF, FISCAL SYSTEMS SECTION

Title

JULY 29, 2005

Date

For the Federal Government:

U.S. Department of Education  
400 Maryland Avenue, SW.  
Washington, DC 20202-4450



Signature

Richard T. Mueller

Name

Director, Indirect Cost Group

Title

JUL - 5 2005

Date

Alan Shumard

Negotiator

(202) 377-3841

Telephone Number

## Section V

**DEPARTMENT OF DEVELOPMENTAL SERVICES**

1600 NINTH STREET, Room 330, MS 3-8  
SACRAMENTO, CA 95814  
TDD 654-2054 (For the Hearing Impaired)  
(916) 654-1596



February 10, 2006

Troy R. Justesen, Acting Director  
Office of Special Education Programs  
400 Maryland Ave., S.W.  
Washington, D.C. 20202

Dear Mr. Justesen:

In response to the Office of Special Education Program's (OSEP) letter dated July 6, 2005 issuing conditional approval of California's Application, including policies and procedures, methods, descriptions, assurances and certifications for Federal Fiscal Year (FFY) 2005 under Part C of the Individuals with Disabilities Education Act (IDEA), California assures OSEP that it will:

1. Operate consistent with the Part C requirements of IDEA of 2004 and that the statewide system of early intervention services required by Part C and its implementing regulations is in effect throughout the FFY 2005 grant period.
2. And upon receipt of federal regulations pursuant to IDEA 2004, will make appropriate changes to, and submit for OSEP approval, existing policies, procedures, methods, and descriptions as are necessary to bring those into compliance with the requirements of Part C of the IDEA, as amended, as soon as possible but no later than July 1, 2007.

Per your request, attached is California's restricted indirect cost rate agreement that has been approved by our cognizant Federal agency that is effective until June 30, 2006. Department of Developmental Services (DDS) will apply the currently approved restricted indirect cost rate throughout FFY 2006 grant year until the new rate is negotiated and approved, at which time it will be submitted to you. Please let me know if you have any questions.

Sincerely,

***Original signed by***

RICK INGRAHAM, Part C Coordinator  
Children and Family Services Branch

Enclosure

**"Building Partnerships, Supporting Choices"**